



Atty. Dkt. No. 040897-0115

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Paul THURK et al.

Title: PHOSPHOR MATERIALS AND ILLUMINATION DEVICES
MADE THEREFROM

Appl. No.: 10/814,295

Filing Date: 04/01/2004

Examiner: Unassigned

Art Unit: 2879

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.56

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Submitted herewith on Form PTO/SB/08 is a listing of documents known to Applicants in order to comply with Applicants' duty of disclosure pursuant to 37 CFR §1.56. A copy of each listed document, except as noted below, is being submitted to comply with the provisions of 37 CFR §1.97 and §1.98.

The USPTO has waived the requirement under 37 CFR 1.98(a)(2)(i) to submit copies of U.S. patents and U.S. patent application publications when citing and submitting an Information Disclosure Statements in a patent application filed after June 30, 2003 and in an international application that has entered the national stage under 37 USC §371 after June 30, 2003. Accordingly, copies of these types of documents are not being supplied in connection with this application. Reference is being made to OG Notice dated August 5, 2003,

Information Disclosure Statements May Be Filed Without Copies of U.S. Patents and Published Applications in Patent Applications filed after June 30, 2003.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.

TIMING OF THE DISCLOSURE

The listed documents are being submitted in compliance with 37 CFR §1.97(b), before the mailing date of the first Office Action on the merits.

RELEVANCE OF EACH DOCUMENT

All of the documents are in English and are described in the specification.

Applicants respectfully request that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08 be returned in accordance with MPEP §609.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 CFR §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Respectfully submitted,

Date: November 12, 2004

By 

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U. S. PATENT & TRADEMARK OFFICE

Substitute for form 1449B/PTO-471
**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

Date Submitted: November 12, 2004

(use as many sheets as necessary)

Sheet

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of

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Complete if Known

Application Number	10/814,295
Filing Date	04/01/2004
First Named Inventor	Paul THURK et al.
Group Art Unit	2879
Examiner Name	Unassigned

Attorney Docket Number 040897-0115

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
A1	4,965,485			TARUMI, et al.	10/23/1990	
A2	5,537,000			ALIVISATOS, et al.	07/16/1996	
A3	5,813,753			VRIENS, et al.	09/29/1998	
A4	6,069,440			SHIMIZU, et al.	05/30/2000	
A5	6,175,187	B1		TSUTSUI	01/16/2001	
A6	6,252,915	B1		MOLLENKOPF, et al.	06/26/2001	
A7	6,268,041	B1		GOLDSTEIN	07/31/2001	
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A10	6,417,019	B1		MUELLER, et al.	07/09/2002	
A11	6,501,091	B1		BAWENDI, et al.	12/31/2002	
A12	6,508,573	B1		YAMAZAKI	01/21/2003	
A13	6,521,915	B2		ODAKI, et al.	02/18/2003	
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A15	2003/0003300	A1		KORGEL, et al.	01/02/2003	
A16	2003/0042850	A1		BERTRAM, et al.	03/06/2003	
A17	2003/0066998	A1		LEE	04/10/2003	
A18	2002/0153830	A1		ANDRIESSEN	10/24/2002	
A19	2002/0167024	A1		JABBOUR, et al.	11/14/2002	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ⁶
	A20	MADOU, "Pattern Transfer with Additive Techniques," Fundamentals of Microfabrication, Second Edition, 2002, pp. 123-181, CRC Press, United States.	
	A21	ŽUKAUSKAS, et al., "Introduction to Solid-State Lighting," 2002, Chapter 2, pp. 7-19, John Wiley & Sons, Inc., New York.	
	A22	HEINRICH, et al., "Luminescent Colloidal Silicon Suspensions from Porous Silicon," January 3, 1992, Science, pp. 66-68, Vol. 255.	

Examiner Signature	Date Considered
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¹EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

²Unique citation designation number. ³See attached Kinds of U.S. Patent Documents. ⁴Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁵For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

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Substitute for form 1449B/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Application Number	10/814,295
Date Submitted: November 12, 2004 <i>(use as many sheets as necessary)</i>				Filing Date	04/01/2004
Sheet	2	of	3	First Named Inventor	Paul THURK et al.
				Group Art Unit	2879
				Examiner Name	Unassigned
				Attorney Docket Number	040897-0115

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.		T ⁶
	A23	BELOMOIN, et al., "Oxide and Hydrogen Capped Ultrasmall Blue Luminescent Si Nanoparticles," Applied Physics Letters, August 7, 2000, pp. 779-781, Vol. 77, No. 6,		
	A24	BELOMOIN, et al., "Observation of a Magic Discrete Family of Ultrabright Si Nanoparticles," Applied Physics Letters, 4 February 2002, pp. 841-843, Vol. 80, No. 5.		
	A25	DABBOUSI, et al., "(CdSe)ZnS Core-Shell Quantum Dots: Synthesis and Characterization of a Size Series of Highly Luminescent Nanocrystallites," J. Phys. Chem. B, 1997, pp. 9463-9475, Vol. 101, No. 46.		
	A26	BAUER, et al., "Laser Synthesis of Low-Agglomerated Submicrometer Silicon Nitride Powders from Chlorinated Silanes," Journal of the American Ceramic Society, November 1991, pp. 2759-68, Vol. 74, No. 11.		
	A27	HOLMES, et al., "Highly Luminescent Silicon Nanocrystals with Discrete Optical Transitions," J. Am. Chem. Soc., 2001, pp. 3743-3748, Vol. 123, No. 16.		
	A28	ENGLISH, et al., "Size Tunable Visible Luminescence from Individual Organic Monolayer Stabilized Silicon Nanocrystal Quantum Dots," Nano Letters, 2002, pp. 681-685, Vol. 2, No. 7.		
	A29	BURIAK, "Organometallic Chemistry on Silicon and Germanium Surfaces," Chemical Reviews, May 2002, pp. 1272-1308, Vol. 102, No. 5.		
	A30	HUISKEN, et al., "Light-Emitting Silicon Nanocrystals from Laser Pyrolysis," Advanced Materials, 2002, pp. 1861-1865, Vol. 14, No. 24.		
	A31	GORLA, et al., "Silicon and Germanium Nanoparticle Formation in an Inductively Coupled Plasma Reactor," Journal of Vacuum Science & Technology Association, May/June 1997, pp. 860-864, Vol. 15, No. 3, Part I.		
	A32	HOLMES, et al., "Control of Thickness and Orientation of Solution-Grown Silicon Nanowires," Science, 25 February 2000, pp. 1471-1473, Vol. 287.		
	A33	HANRATH, et al., "Nucleation and Growth of Germanium Nanowires Seeded by Organic Monolayer-Coated Gold Nanocrystals," J. Am. Chem. Soc., 2002, pp. 1424-1429, Vol. 124, No. 7.		

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	A34	DING, et al., "Electrochemistry and Electrogenerated Chemiluminescence from Silicon Nanocrystal Quantum Dots," Science, 17 May 2002, pp. 1293-1297, Vol. 296.		
	A35	LU, et al., "Growth of Single Crystal Silicon Nanowires in Supercritical Solution from Tethered Gold Particles on a Silicon Substrate," Nano Letters, 2003, pp. 93-99, Vol. 3, No. 1.		

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